

YUCCA MOUNTAIN SITE CHARACTERIZATION OFFICE
OFFICE OF LICENSING AND REGULATORY COMPLIANCE

SELF-ASSESSMENT REPORT

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QA: QA

Self-Assessment of OCRWM Lessons Learned Program

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Self-Assessment of OCRWM Lessons Learned Program

1. Self-Assessment Team

The self-assessment (SA) team consisted of the following individuals:

Tommy Wall

2. Work Activity

Evaluate the Lessons Learned program against the criteria in AP-REG-001, Managing Lessons Learned.

3. Purpose, Scope, and Objectives

To determine the current state of the Lessons Learned Program and determine areas for improvement for the next cycle. The criteria are shown in attachment 1.

Executive Summary

A subset of the Lessons Learned coordinators verbally and by e-mail quizzed their managers on their opinions of the Lessons Learned Program and what if anything needed changing to meet their needs. As a result, it was determined that all respondents were satisfied with the program and did not see any need for changes.

A review of external audits done since the last self-assessment was conducted. An ES&H audit detailed 2 deficiencies and 11 opportunities for improvement. Corrective actions successfully eliminated the two deficiencies and the opportunities for improvement were closed as a result of the improvement activities. This enabled the program to improve this self-assessment against the criteria. A recent QAMA audit found the program "much improved" and there is one activity being carried in the BSC Performance Improvement Implementation Plan to "continue improvement".

Last year an opinion analysis of the criteria by the Program Coordinator resulted in a Stage 2 (2.0 average) rating for the program. By the criteria: "Program implemented and evolving; further development still desirable."

The analysis this year is depicted on attachment 1. It shows 2 Stage 1 problems, 4 Stage 2 criteria, and 20 Stage 3 criteria. The average this year is 2.69. Areas to be concentrated on for the next year are "Performance Measures" and "Management Reviews"

Best Practices

During meetings this year with the DOE Society of Effective Lessons Learned Sharing, they cited the programs ability to show feedback from the receiving departments as a best practice. No Lesson Learned will be written on this due to the fact it effects only the Lesson Learned Program.

Conditions

Two conditions exist, defined here as Stage 1; the program will concentrate improvement activities on Stage 1.

Recommendations

The following recommendations are proposed:

- Develop Measures for Lessons Learned. Poll the complex to see what measures are currently in place.
- Develop a plan for implementing management reviews of corrective actions for Lessons Learned.

The following materials were reviewed:

ES&H Assessment Report 01-05
Fiscal YR 02 QAMA Report
Responses from Opinion Poll of Managers

PROGRAM DEFINITION

- 1) The Lessons Learned Program is endorsed by senior management through written program policy.

Stage 3 Policy statements issued by OCRWM as well as BSC management. A full education program has been implemented for all employees

- 2) The Lessons Learned program purpose and objectives are defined.

Stage 3 as stated in the criteria

- 3) Lessons learned program is clearly linked to Integrated Safety Management Program documents.

Stage 3 as stated in the criteria

- 4) The Lessons Learned program objectives are supportive of the organizational mission, policies, and strategies.

Stage 2 Current culture is undergoing change, but there is little evidence that the majority of personnel have embraced the concept that Lessons Learned creates continuous improvement.

- 5) Program meets the intent of the DOE Lessons Learned Standard, 7501-99, December 1999.

Stage 3 as stated in the criteria

PROGRAM MANAGEMENT

- 6) The Site Lessons Learned program management and implementation tasks are defined.

Stage 3 as defined in the criteria.

- 7) Personnel (by position or name) are assigned responsibilities for program tasks (screening, characterizing, summarizing, and dissemination).

Stage 3 as defined in the criteria

- 8) Important program interface requirements are defined. This includes defining interfaces with sub-tier contractors.

Stage 2 Interface requirements are defined. However, follow through is poor and personnel are not regularly submitting Lessons Learned as required by interfacing documents such as LP-ESH-026-BSC.

- 9) Essential program implementation and continuous improvement milestones are defined and tracked.

Stage 3 The program is implemented in all areas. Each area reviews and defines continuous improvements as a result of evaluating Lessons Learned.

- 10) Resources are defined and provided by management to achieve program objectives.

Stage 3 as defined in the criteria

PROGRAM PROCESS

- 11) Sources of Lessons Learned information are defined, available, and frequently reviewed for relevance.

Stage 3 as defined in the criteria

- 12) Incoming information is properly analyzed, disseminated, implemented, and tracked through formal management systems. (Lessons Learned are incorporated in work planning.)

Stage 3 as defined in the criteria

- 13) Outgoing information is well characterized and properly summarized.

Stage 3 as defined in the criteria

- 14) Information that has relevance to other DOE or industry entities is properly cleared for distribution and made available to appropriate personnel.

Stage 3 as defined in the criteria

- 15) Personnel are aware of their role in identifying Lessons Learned as they relate to their duties (i.e., develop lessons Learned through feedback from job performance or employing experiences learned from others, and self-assessment).

Stage 2 I feel the words "...keen sense of..." implies a desire on the part of personnel to promulgate and develop lessons learned. While they "...expressed a clear understanding of their roles...", they are hardly enthusiastic participants.

PROGRAM PERFORMANCE MEASURES

- 16) An assessment plan for the Lessons Learned program is developed.

Stage 3 The Self-Assessment program exists for all departments and locations.

Lessons Learned is an area that is recommended for self-assessment. Some Departments have done these some have not. However, they have approved plans.

- 17) Performance measures are developed and well defined, and establish a sound basis for program improvement.

Stage 1 There are no current performance measures for Lessons Learned. These will be developed for the Performance Improvement Transition Plan response to the QAMA audit

- 18) Line management places importance on the Lessons Learned program and ensures adequate implementation.

Stage 2 While managers demonstrate involvement, few show "...aggressive participation in the Lessons Learned Program."

TRAINING

- 19) Training for personnel with responsibilities in the Site Lessons Learned program is identified and available.

Stage 3 as defined in the criteria

- 20) Personnel with assigned responsibilities for program management and implementations are adequately trained and knowledgeable.

Stage 3 Employees remain knowledgeable of the DOE complex through the Lessons Learned that come in through the system.

- 21) Lessons Learned are appropriately reviewed for training implications and, where warranted, training programs are modified.

Stage 3 as defined in the criteria

- 22) Continuing training programs utilize current Lessons Learned as examples, where applicable.

Stage 3 as defined in the criteria

- 23) Training, as a result of Lessons Learned, is presented in an effective and timely manner.

Stage 3 as defined in the criteria

- 24) Personnel who have received Lessons Learned information are knowledgeable of the information and have appropriately applied the Lessons Learned in the performance of their duties.

Stage 3 This criteria directly addresses craft employees. At the site all lessons learned are reviewed each week in the all hands safety meeting. Application of principles are timely

PROGRAM CORRECTIVE ACTION TRACKING

- 25) Where corrective actions are identified, formal assignment of responsibilities and completion dates are established.

Stage 3 as defined by the criteria

- 26) Management periodically reviews status of correction action management and ensures program actions are adequate.

Stage 1 Validation of adequacy of corrective actions is almost no existent.